

Agenda Item 2.2: Strategy for the DJA/ Superior Court Electronic Court Records Objectives

Strategic Advisory Council
April 2, 2010

Background: King County Department of Judicial Administration (DJA) and Superior Court will present the problems surrounding their Electronic Court Records (ECR) *Core* system, and business needs for its replacement.

The ECR *Core* system is the primary application for the Electronic Court Records system. The system was originally developed in 1995. It no longer meets the changing business needs and has significant risks of failure, resulting in major impacts to the county and the public.

DJA serves as the customer service office of the Superior Court and manages all records of Superior Court cases. DJA has Superior Court records dating back to the 1800s and currently receives more than 7,000 documents each day that must be maintained indefinitely.

The ECR *Core* system is used by all DJA staff and a limited number of staff in other agencies for the scanning, indexing, docketing and retention of Superior Court filings. ECR *Core* provides the electronic document work flow, routing, retention and access activities related to these filings.

ECR *viewers* are a separate component of ECR and they are dependant on a reliable *Core* system. The ECR *viewers* are used by a very high number of judges and staff in all the justice departments in King County, and by a large number of state agencies and the public.

A brief summary of major issues and proposed approach for resolving those issues is included in **Exhibit 1: Presentation slides: Strategy for DJA/Superior Court Electronic Court Records Objectives**

Additional information about the business problem, opportunities, vision, legal mandates, alignment to business strategy, and expected benefits is included in **Exhibit 2: DJA: Electronic Court Record - Core System Replacement**

YOUR ACTION IS REQUESTED

1. **Provide your questions/input in advance of the meeting.** If you have questions or input related to this subject, we would appreciate receiving your feedback in advance of the meeting. For questions please contact David Martinez; otherwise, please e-mail your input associated with this agenda

topic to Maureen Weisser. Maureen will be collecting all input provided by the members. We will introduce the received feedback at the SAC meeting for discussion.

2. **SAC Action at the meeting: Endorsement.** The members will be asked to vote on:

- ❖ Identifying Core ECR replacement as a priority for the county
- ❖ Approach as outlined in the presentation and other meeting materials
- ❖ Including strategic objective for DJA/Superior Court CORE system replacement in 2009-2012 Strategic Technology Plan.

Exhibit 1: Presentation: Strategy for DJA/Superior Court Electronic Court Records Objectives

Agenda Topic 2.2

Strategy for DJA/Superior Court Electronic Court Records Objectives - Draft

April 2, 2010
Presented by:
Department of Judicial Administration (DJA) and
Superior Court (SC)

Core Electronic Court Records System (ECR) Replacement

AGENDA:

- Overview of the business problem related to DJA's mission critical enterprise system and the organization's approach to resolve the issues

EXPECTATION:

- SAC Endorsement for including in Strategic Technology Plan

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Business Problem

- Core ECR is an essential application that facilitates DJA's ability to meet its legal mandate to keep the records of King County Superior Court (SC)
- Issues
 - 10-year-old application dependent on proprietary, high maintenance Filenet software
 - Key components of the system are at end-of-life, and no longer supported; this limits support and enhancement abilities
 - High risk and costs associated with system downtime and/or failure; 3 major downtime events to date
- Unavailability of the system creates severe business disruption for DJA, SC and all practitioners in SC, including prosecutors, public defenders, Dept. of Adult & Juvenile Detention. The public is also impacted.

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Business Goals, Success Factors, Priority

- Replace system with a non-proprietary commercial solution not readily available 10 years ago to:
 - Advance operating efficiency, access to justice, judicial decision-making and open communications
 - Reliable capture, storage, safeguarding, retention and retrieval of Superior Court electronic records
 - Consistent and accurate workflow and business processes to manage Superior Court electronic records
 - Reliable data exchange with interfacing systems.
- High priority to rewrite *Core ECR*; Solution is necessary to prevent further risk of downtime or failure.

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Approach

- Replace legacy Core ECR system with a modern maintainable and documented system with:
 - Custom built or a vendor supplied user interface for processing court documents
 - Vendor document repository for storage and retrieval.
- Estimated Costs
 - \$2 – \$3.6 million one time cost
 - \$3.5 - \$4.9 million for 10-year life cycle
- Timeline
 - Complete by 2012

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SAC Endorsement

1. Identify Core ECR replacement as a priority for the county
2. Proceed with the approach as outlined in the presentation and other meeting materials
3. Include strategic objective for DJA/Superior Court Core system replacement in *2009-2012 Strategic Technology Plan*

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Exhibit 2: DJA: Electronic Court Record - Core System Replacement

1. BUSINESS PROBLEM/OPPORTUNITY

The Department of Judicial Administration (DJA) has a complex policy framework within which to operate. This framework begins with Article 4, Section 26 of the Constitution of the State of Washington and includes a variety of RCW's, State and Local Court Rules, the King County Charter, and County Ordinances.

DJA serves as the customer service office of the Superior Court and manages all records of Superior Court cases. The Washington State Constitution identifies Superior Court as a court of record. As a court of record, all Superior Court records need to be retained indefinitely. DJA has Superior Court records dating back to the 1800s and currently receives more than 7,000 documents each day that must be maintained indefinitely.

The ECR Core system is the primary application for the Electronic Court Records system. It is used by all DJA staff and a limited number of staff in other agencies for the scanning, indexing, docketing and retention of Superior Court filings. ECR Core provides the electronic document work flow, routing, retention and access activities related to these filings.

The ECR Core system was originally developed in 1995 and is at end-of-life. It is based on an increasingly outdated technology set which limits its support and enhancement capabilities and operating system platform compatibility. It cannot be readily adapted to meet current and anticipated integration and data exchange requirements. There are numerous functionality, design, and security enhancements available with current technologies from which the application and the business processes it supports could benefit. The ECR Core system is the single repository for more than 16.5 million images.

Pursuant to statute, DJA destroys documents once they have been quality checked and are in the ECR Core system. This means there is no paper back up to these images.

Risk of Not Addressing the Issues

Without a replacement for the ECR Core application, the likelihood of a catastrophic failure, including data loss, increases with time. The backend image repository and its backup and restore procedures are no longer supported by the vendor. The lack of available maintenance for both the user interface and the image repository is nominally mitigated by instituting daily business processes that are workarounds for known issues. This limits DJA's ability to fully support the Court and the public.

A failure of this system could result in huge costs, liability, litigation, and public safety issues. When this system is down for day/weeks there is impact on DJA, Superior Court, and other justice system partners. If there were a catastrophic failure and images were unable to be retrieved, the consequences would be severe.

DJA has eliminated more than 20 FTEs due to the implementation of the comprehensive ECR system. If there were a failure and DJA could not maintain records electronically, there would be a staffing need of more than 20 FTEs on an ongoing basis.

2. DESCRIPTION

Replace the legacy ECR Core system with a modern maintainable, documented system. The replacement system will be either a custom built or a vendor supplied user interface for processing court documents, with a vendor document repository for storage and retrieval.

Vision

The vision is a fully functional modern ECR Core system that can be effectively maintained. The resulting application will safeguard and provide appropriate access to official Superior Court records.

Goals/Objectives

1. Use technology to advance operating efficiency, access to justice, judicial decision-making and open communications
2. Reliable capture, storage, safeguarding, retention and retrieval of Superior Court electronic records
3. Programmatic support of consistent and accurate workflow and business processes to manage Superior Court electronic records
4. Reliable data exchange with interfacing systems.

Legal Mandates

By statute, DJA must keep the records, files, and other books and papers related to the Superior Court. This entails receiving filings, processing documents, preparing court calendars, indexing and setting up new cases, and entering relevant data from each document received into a state-wide database. There are court rules and statutes that pertain to confidentiality, timelines, and processes that DJA must follow. By law, these records must be kept forever.

By statute, DJA is charged with maintaining court records and providing appropriate access within the court rules, case law and statutes. DJA must keep the seal and authenticate records, and provide the public with notice of procedures for inspection.

Alignment to Business Strategy

The replacement of the ECR Core application with a modern, functional application is the technological underpinning of fulfilling Judicial Administration's mission to: "Deliver professional, high quality Superior Court record services and justice system programs." It also aligns very well with DJA 2010 Department Goals and the Technology issue of the

Strategic Agenda King County Superior Court 2009-2014. Specifically, by providing reliable and streamlined programmatic support of business workflows this project aligns with the DJA 2010 Department Goals:

1. Take significant steps to fortify the department's infrastructure.
2. Develop new and optimize existing technology to increase efficiencies and improve services.

Enhanced audit capabilities of the new ECR Core will provide a basis for more accurate performance measures aligning with another DJA 2010 Department Goal:

1. Incorporate performance measures into decision making and business operations.

These project outcomes also align well with Superior Court Strategies:

1. Evaluate and develop technology to assist in efficient case management
2. Utilize technology to enhance customer information and service.

3. EXPECTED BENEFITS (TANGIBLE AND INTANGIBLE)

DJA and its customers will benefit from this project in both tangible and intangible ways. These benefits are outlined below.

Expected Tangible Benefits:

1. Availability of support for the ECR system to include application and platform maintenance through elimination of outdated and obsolete technology
2. Increased consistency in the management of Superior Court electronic records by removing the reliance on workarounds
3. Increased reliability in safeguarding Superior Court electronic records during processing of documents along work flows
4. Increased accuracy in status of individual Superior Court electronic records providing accurate status management of cases and individual documents
5. Increased data sharing based on current IT best practices utilizing modern image repository and indexing stores
6. Increased system reliability and availability based on stable platform and software
7. Increased quality of disaster recovery results through the use of modern image repository and index storage

Expected Intangible Benefits:

1. Improved customer service to dependent government agencies, internal users and the public
2. Better position for anticipated changes to data exchange with State and local agencies